

Washington 25, D. C.

December 6, 1951

REGULATIONS OF THE GENERAL SERVICES ADMINISTRATION
TITLE 3, FEDERAL RECORDS

To: Heads of Federal Agencies

1. Material Transmitted

Attached are Chapters I and IV of Title 3, Federal Records, Regulations of the General Services Administration. Chapter I contains General Provisions and Chapter IV prescribes regulations governing the Disposition of Federal Records.

This is the first issuance of Regulations of the General Services Administration in codified form, announcement of which was contained in General Services Administration Circular No. 28, dated October 4, 1951.

2. Supplies of Forms

Standard Forms 115, Request for Authority to Dispose of Records, and 115a, Continuation Sheet, and GSA Forms 467, Annual Statistical Summary of Records Holdings, and 468, Agency Records Center Annual Report, are prescribed by these Regulations. Supplies of the standard forms may be obtained on and after December 20, 1951, by the submission of purchase orders to the appropriate GSA Federal Supply Center. Supplies of the GSA Forms may be obtained, upon request, from the Office Services and Supply Division, Office of Management, General Services Administration, Washington 25, D. C.

3. Completion of Title 3

Chapter II, Creation of Records, Chapter III, Organization, Maintenance, and Use of Records, and Sections 102 and 103 of Chapter IV, are in process of preparation and will be issued at an early date.

4. Rescissions

Regulations of the National Archives Council, adopted July 29, 1949 (14 F.R. 5405), and the Resolution concerning the Transfer of Records to the National Archives, adopted by the National Archives Council November 9, 1944, are hereby superseded.

5. Effective Date

The Regulations transmitted herewith shall be effective immediately.

REGULATIONS OF THE
GENERAL SERVICES ADMINISTRATION

TITLE 3
FEDERAL RECORDS



WASHINGTON 25, D. C.

DECEMBER 1951

Regulations
of the
General Services Administration

General. Regulations prescribed by the Administrator of General Services pursuant to the provisions of Public Law 152, 81st Congress, as amended, and other law, having continuing application to Government agencies and to the public will be codified into a five title edition entitled "Regulations of the General Services Administration." These Regulations will include all policy directives, procedures, general delegations of authority, GSA and Standard Forms and similar regulatory material.

Title Numbers and Subjects. When completed the codified edition of the Regulations will consist of the following:

- Title 1 Personal Property Management
- Title 2 Real Property Management
- Title 3 Federal Records
- Title 4 Emergency Procurement
- Title 5 Contract Settlement

Method of Issuance. Codified Regulations are issued in loose leaf form to permit the insertion or removal of pages upon which additions to, or deletions or revisions of, regulatory statements are made necessary by changes in policy or fact. Revised or added pages will be issued as needed, and the material under each Title shall be kept up to date by all persons who are responsible for the operation of any phase of an agency program which is effected by the Regulations of the General Services Administration.

Internal Numbering System. Titles are divided into numbered and titled chapters, parts, sections and subsections, to denote delineation between subordinate functional areas under the main title.

Parts, sections and subsections are identified by a five digit numbering system. The first digit identifies the part; the second and third digits identify the section; and the fourth and fifth digits identify the subsection. For purposes of reference a subsection will be identified by using the title number, the chapter number and the full section number. For example, the first subsection of the first section under Chapter II of Title 2, will be referenced as GSA Regulation 2-II-201.01. The first number identifies the title and the second number identifies the chapter. Paragraphs and subparagraphs are identified by small alphabetical letters and by arabic numerals respectively: for example, paragraph a, subparagraph 1. Thus a paragraph and subparagraph under section 201.01 of Part 2 will be referenced for identification purposes as subparagraph a.1. of GSA Reg. 2-II-201.01, or GSA Reg. 2-II-201.01a.1. Further subdivisions, when necessary, will be identified in order by letters and numerals in parentheses, e.g., (a) and (1).

Pages are identified in the upper right or left corner to show the title, chapter, part, section and subsection in which they belong. For example, a page bearing the identification "GSA Reg. 2-II-201.04" belongs in Chapter II, Part 2, Section 1, subsection 4, of Title 2, Real Property Management. The identification shown at the top of the page will be the number of the first subsection beginning on that page. When a subsection extends beyond one page, the continuation page is further identified by "(Cont'd-)" appearing after the subsection number at the top of the page; for example, (Cont'd-2). (Cont'd-3), etc.

After the original issuance of material under a title revised or added pages will be identified by the following statement in the upper right or left corner immediately below the page identification (Revised (date)) or (Added (date)).

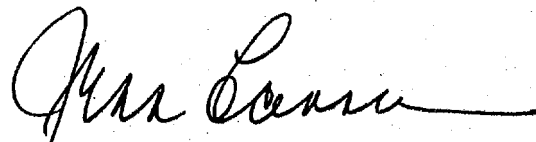
Transmittal Letters. The original issuance and revised and added material will be promulgated and distributed to agencies under cover of a series of consecutively numbered transmittal letters for each title. The transmittal letters will be designed to serve the following purposes:

1. Transmit as an attachment the pages to be substituted or added and give instructions for insertion.
2. State the purpose of the new regulation or the change in policy involved.
3. Give such nonrecurring instructions as may be necessary to effect the new or changed regulation and the date such regulation shall be made effective.

For reference purposes transmittal letters should be retained, and may be placed in the back of the cover for the particular title; or may be detached and filed separately.

AUTHENTICATION

In accordance with the authority vested in the
Administrator of General Services, I hereby declare
that the Regulations of the General Services Admin-
istration, Title 3, Federal Records, shall be the
Regulations governing the management of the records
of Federal agencies until modified by order of the
Administrator or by law.



JESS LARSON
Administrator

REGULATIONS OF THE
GENERAL SERVICES ADMINISTRATION

TITLE 3 FEDERAL RECORDS

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TITLE 3 FEDERAL RECORDS

CHAPTER I GENERAL PROVISIONS

PART 1 INTRODUCTION

SECTION 101.00 GENERAL

101.01 Purpose. The Regulations in this Title prescribe policies and methods for the economical and efficient management of records of Federal agencies.

101.02 Authority. The Regulations in this Title are issued pursuant to the authority contained in the so-called Records Disposal Act, as amended (44 U.S.C. 366-380), the Federal Property and Administrative Services Act of 1949, as amended (41 U.S.C. Supp. 214, 44 U.S.C. Supp. 367, 369), and the Federal Records Act of 1950 (41 U.S.C. Supp. 281-290).

101.03 Applicability. The Regulations in this Title apply to all agencies in the executive, legislative, and judicial branches of the Government, except the Senate, the House of Representatives, and the Architect of the Capitol and any activities under his direction, to the extent provided in the Federal Property and Administrative Services Act of 1949, as amended.

SECTION 102.00 AGENCY RECORDS MANAGEMENT PROGRAMS

102.01 Authority. Section 506 (b) of the Federal Records Act of 1950 requires the head of each Federal agency to establish and maintain an active, continuing program for the economical and efficient management of the records of the agency.

102.02 Program Content. Agency programs shall, among other things, provide for:

- a. Effective controls over the creation, the organization, maintenance and use, and the disposition of all agency records.
- b. Cooperation with the Administrator of General Services in developing and applying standards, procedures, and techniques designed to improve the management of records, assure the maintenance and security of records of continuing value, and facilitate the segregation and disposal of all records of temporary value.
- c. Compliance with the provisions of the Federal Records Act of 1950 and with the regulations issued thereunder.

102.03 Creation of Records. Adequate records management controls over the creation of agency records shall be instituted to insure that important policies and decisions are adequately recorded; that routine operational paper work is kept to a minimum; and that the accumulation of unnecessary files is prevented. Effective techniques to be applied in this area include the application of systems for the control of correspondence, forms, directives and issuances, and reports; the minimizing of duplicate files; and the disposal without filing of transitory material that has no value for record purposes.

102.04 Organization, Maintenance, and Use of Records. Provision shall be made for the continued analysis and improvement of such matters as mail handling and routing, record classification and indexing systems, the use of filing equipment and supplies, the reproduction and transportation of records, and work production standards relating thereto, to insure that records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained.

102.05 Disposition of Records. Provision shall be made to insure that records of continuing value are preserved but that records no longer of current use to an agency are promptly disposed of or retired. Effective techniques for accomplishing these ends are the development of records control schedules; the transfer of records to records centers and to the National Archives; the microfilming of appropriate records; and the disposal of valueless records.

GSA Reg. 3-I-102.06

102.06 Liaison Offices. Responsibility for the development of the records management program shall be specifically assigned to an office or offices within each Federal agency. The office to which the major responsibility is assigned shall be reported for liaison purposes to the National Archives and Records Service.

102.07 Annual Statistical Summary. Each Federal agency within 60 days after the close of the fiscal year 1952 and each year thereafter shall submit to the National Archives and Records Service a statistical summary of records holdings on GSA Form 467 (Exhibit 1, Appendix A). Instructions for the preparation of the report are set forth on the form. The statistical summary may be consolidated for the entire agency, or, if more practical, individual reports may be submitted for bureaus or comparable organizational units.

CHAPTER IV DISPOSITION OF FEDERAL RECORDS

PART 1 RECORDS CONTROL SCHEDULES AND STANDARDS

SECTION 101.00 RECORDS CONTROL SCHEDULES

101.01 Records Scheduling Programs. A records scheduling program is essential to promote a prompt and orderly reduction in the quantity of records in each Federal agency in accordance with the provisions of section 505 (a) of the Federal Records Act of 1950.

101.02 Basic Elements in Records Scheduling Programs. Three basic elements are present in a records scheduling program:

- a. The taking of a complete inventory of the records in the custody of the agency.
- b. The formulation of policy as to the disposition of each type or series of records and its statement in the form of a records control schedule.
- c. The application of the records control schedule to effect the elimination or removal of records.

101.03 Formulation of Records Control Schedules. The following steps shall be taken in the development of records control schedules:

- a. Each Federal agency shall compile a records control schedule for all major groups of records in its custody having importance in terms of content, bulk, or space and equipment occupied. For all Federal agencies in existence on June 30, 1951 (other than the judiciary, for which special arrangements will be made), such records control schedules shall be completed by June 30, 1954. For all Federal agencies created after June 30, 1951, such schedules shall be completed within one year after the creation of the agency.
- b. Schedules shall clearly identify and describe the series of records covered, and shall contain instructions that, when approved, can be readily applied. Schedules must be readily adaptable to use along organizational lines, so that each office will have standing instructions for the disposition of records in its custody.
- c. All schedules shall take into account the actual filing arrangements in existence, so that disposition of records can be physically accomplished in the largest blocks possible.
- d. Nonrecord materials, such as extra copies of documents preserved for convenience of reference, stocks of processed documents, preliminary worksheets, and similar papers that need not be made a matter of record, shall not be incorporated in the official files of the agency. To the maximum extent possible, material

not required for record purposes shall be disposed of; it should not be sent to file. In cases where transitory files of such materials are established and maintained in filing equipment, such files shall be controlled by means of instructions in the records control schedule.

- e. Schedules shall be reviewed at least once annually to effect changes necessary to maintain their current status.

101.04 Provisions of Records Control Schedules. Records control schedules shall provide for:

- a. The disposal after minimum retention periods of those records not having sufficient value to justify their further retention. Procedures for obtaining disposal authorization are prescribed in sections 104.00 and 106.00 of this chapter.
- b. The removal to a Federal Records Center (or to an agency records center approved under the provisions of section 401.00 of this chapter) of those records which cannot be disposed of immediately but which need not be maintained in office space and equipment. Such records will be maintained by the records center pending their transfer or disposal.
- c. The retention as current records in office space and equipment of the minimum volume of records consistent with efficient operation.

101.05 Application of Records Control Schedules. The head of each Federal agency shall take necessary action to obtain the application of records control schedules to provide for the maximum economy of space, equipment, and personnel.

SECTION 104.00 GENERAL RETENTION AND DISPOSAL SCHEDULES

104.01 Authority. Section 505 (b) of the Federal Records Act of 1950 directs the Administrator to establish standards for the selective retention of records of continuing value. The Records Disposal Act prescribes that no records of the United States Government shall be alienated or destroyed except in accordance with the provisions of the Act. This Act also authorizes the Administrator to submit to Congress schedules proposing the disposal, after the lapse of specified periods of time, of records of a specified form or character common to several or all agencies that either have accumulated or may accumulate in such agencies and that apparently will not, after the lapse of the periods specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the United States Government.

These schedules when reported upon favorably by the Joint Committee on the Disposition of Executive Papers constitute authority to dispose of the records included therein. Agencies may apply this authority subject to approval of the Comptroller General of the United States when required by section 9 of the Records Disposal Act. Such disposal authority is permissive and not mandatory.

104.02 Approved General Disposal Schedules. Pursuant to the authority cited in section 104.01, general disposal schedules governing the retention and disposal of the types of records listed below shall continue in effect until superseded by amendment of this section.

- a. Civilian Personnel Records, issued by Federal Records Regulation No. 1, dated November 2, 1951.
- b. Deferment Records (World War II), issued by National Archives Circular Letter No. 46-2, dated March 13, 1946.
- c. Records of Informational Services and Relations with the Public, issued by National Archives Circular Letter No. 46-4, dated May 23, 1946.
- d. Mail and Postal Records, issued by National Archives Circular Letter No. 47-1, dated August 7, 1946.
- e. Fiscal and Accounting Records, issued by National Archives Circular Letter No. 47-2, dated August 7, 1946.
- f. Bankruptcy Records, issued by National Archives Circular Letter No. 48-1, dated July 7, 1947.

SECTION 105.00 REPRODUCTION OF PERMANENTLY VALUABLE RECORDS

105.01 Authority. Pursuant to the provisions of section 2 of the Records Disposal Act, the Administrator of General Services is required to establish standards for the reproduction of records by photographic, microphotographic, or other processes, when such reproductions are to serve as permanent records.

105.02 Standards. In making reproductions of permanently valuable records in order to dispose of the originals, the following standards shall be maintained:

- a. The integrity of the original records shall be preserved on the copies. The preservation of the integrity of the records implies that the copies will be adequate substitutes for the original records in serving the purposes for which such records were created or maintained. More specifically, the term "integrity of the records" is defined to mean:
 1. That the copies will be so arranged, identified, and indexed that an individual document or component of a records series can be located with reasonable facility; and
 2. That the copies will contain all significant record detail needed for probable future reference.
- b. The film stock used in making photographic or microphotographic copies, and the processing thereof, shall comply with the specifications of the National Bureau of Standards for permanent records.
- c. The provisions for preserving, examining, and using the copies of the original records shall be adequate.
- d. Whenever the agency deems that the original photographic or microphotographic negative or master reproducing copy of permanently valuable records is deteriorating or will deteriorate as a result of use or other causes, the agency shall make a duplicate copy for its own use, if necessary, and shall deposit the original photographic or microphotographic negative or master reproducing copy with the National Archives.

105.03 Destruction of Originals. Authority to dispose of the original records must be obtained in accordance with section 106.00 of this chapter. In order to avoid the possibility of approval being withheld because of failure to comply with the above standards, Federal agencies proposing to preserve permanently valuable records on microfilm or by other reproduction processes shall request authority to dispose of the originals before the reproduction project itself is actually undertaken.

- a. Approval will be facilitated if a statement of procedures to be adopted in order to comply with the above standards accompanies the request.
- b. Technical advice and assistance may be obtained, upon request, from the National Archives and Records Service, Records Management Division.

SECTION 106.00 AGENCY DISPOSAL AUTHORITY

106.01 Authority. The Records Disposal Act prescribes that no records of the United States Government shall be alienated or destroyed except in accordance with the provisions of the Act. It further requires the Administrator of General Services to establish procedures to be followed by Federal agencies in compiling and submitting lists and schedules of records proposed for disposal.

106.02 Submission of Disposal Requests. Requests for authorization to dispose of records shall be initiated by Federal agencies by submitting records disposal lists or schedules to the National Archives and Records Service on Standard Forms 115 and 115a, Continuation Sheet, as revised. Samples of these forms and instructions for their preparation are attached as Exhibits 2 and 2a, Appendix A. Existing stocks of Standard Form 115 and 115a will be used until exhausted. Standard Form 115 may be used for submitting either a list or schedule, by checking either A or B, respectively, under entry 6. Authority contained in an approved list is limited to records already in existence, and should be used only when records of the types described are no longer accumulating. A schedule gives continuing authorization, and will be used in all cases where the types of records described in the request will continue to accumulate.

106.03 Certification. The signing of Standard Form 115 by a properly authorized agency representative shall constitute certification that the records described do not have, or will not have after the expiration of the retention period indicated, sufficient administrative, legal, or fiscal value to the agency itself to warrant further retention. Appraisal by the National Archives and Records Service will be limited to review for possible value to other agencies of the Government, and for research or historical value.

106.04 General Accounting Office Clearance. Each Federal agency shall obtain the approval of the Comptroller General of the United States, as required by section 9 of the Records Disposal Act, for the disposal of certain classes of records relating to claims and demands by or against the Government or to accounts in which the Government is concerned. Such approval shall be obtained either prior to or concurrently with the submission of the disposal request to the National Archives and Records Service.

106.05 Approval of Requests for Disposal Authority. After review by the National Archives and Records Service, the request, with the Archivist's recommendation, is transmitted to the Congress as required by the Records Disposal Act. If the Joint Committee on the Disposition of Executive Papers makes a favorable report on the request, the Archivist shall notify the agency thereof by returning one copy of completed Standard Form 115. This constitutes the disposal authorization, which is mandatory. Such authorized disposal shall be accomplished as prescribed in section 201.00 of this chapter.

105.06 Extension of Retention Periods. In cases of emergency or when it is in the interest of economy, the head of a Federal agency may retain records authorized by Congress for disposal after the specified retention period. When records are so retained, a copy of the directive authorizing such retention shall be furnished to the Administrator and such records shall be disposed of as soon as is administratively practical.

SECTION 107.00 EMERGENCY AUTHORIZATION FOR THE DISPOSAL OF RECORDS

107.01 General. Under certain conditions records may be disposed of without regard to the provisions of section 106.00 of this chapter.

107.02 Menaces to Human Health or Life or to Property. Section 10 of the Records Disposal Act authorizes disposal whenever it is determined that records constitute a continuing menace to human health or life or to property. Whenever the head of an agency has determined that records constitute such a menace he shall notify the National Archives and Records Service, specifying the nature of the records, their location and quantity, and the nature of the menace. If the National Archives and Records Service concurs in the determination, the immediate removal of the menace by destruction of the records or by other appropriate means will be directed.

107.03 State of War or Threatened War. Section 11 of the Records Disposal Act authorizes the destruction of records outside the territorial limits of the continental United States whenever, during the existence of a state of war between the United States and any other nation or when hostile action by a foreign power appears imminent, the head of the agency that has custody of the records determines that their retention would be prejudicial to the interests of the United States, or that they occupy space urgently needed for military purposes and are without sufficient value to warrant continued preservation.

Within six months after the disposal of any records under this authorization, a written report describing the character of the records and stating when and where the disposal was accomplished shall be submitted to the National Archives and Records Service by the agency official who directed the disposal.

PART 2 DISPOSAL OF RECORDS

SECTION 201.00 METHODS OF DISPOSAL

201.01 Authority. Under the provisions of the Records Disposal Act, Federal agencies are required to follow regulations issued by the Administrator of General Services governing the methods by which records authorized for disposal are to be disposed of. Only the methods set forth in this section shall be used in effecting the disposal of records, whenever Congress shall have authorized their disposal.

201.02 Sale or Salvage. Paper records to be disposed of shall normally, and during the present shortage of paper, to the maximum extent practicable, be sold as waste paper; provided that, unless the records have been treated to destroy their record content, the contract for sale shall prohibit their resale or use as records or documents. Outside Washington, D. C., where quantities involved do not warrant sale, paper records authorized for disposal may be donated for salvage purposes to local public or nonprofit institutions or agencies; provided that precautions are taken to insure that the materials are not resold as records or documents, and that the interests of the United States and of private individuals are protected. Records other than paper records (film, plastic, etc.) may be salvaged by the agency concerned or sold under the same conditions that govern the sale of paper records. All sales shall be on a competitive basis as required by the provisions of law applicable to the selling agency.

201.03 Donation for Preservation and Use. Whenever it is believed that the public interest will be served thereby, a Federal agency may transfer records authorized for disposal to a government, organization, institution, corporation, or person that has made application for them; provided (a) that the applicant agrees not to sell the records as records or documents; (b) that the transfer is made without cost to the United States Government; (c) that no transfer shall be approved if the records contain information the revelation of which is prohibited by law or would be contrary to the public interest; (d) that no transfer to a foreign government shall be approved unless such government has an official interest in the records; and (e) that no transfer to a person or business corporation shall be approved unless the records are necessary to the operation of of properties acquired from the Government.

a. Report of Donation of Disposable Records to Non-Federal Custody. Each donation of records under this authority shall be reported to the National Archives and Records Service. This report shall contain:

1. The name of department or agency and the name of the major and minor subdivision thereof concerned.
2. The name and address of the recipient of the records.

3. A list of the records by item number, with an accurate identification of the series of records transferred, the inclusive dates of the records, and the National Archives and Records Service job and item number(s) of the disposal authorization(s) as indicated on Standard Form 115, or other disposal authority.

201.04 Destruction. If the records cannot advantageously be sold or otherwise salvaged, or if, in the opinion of the agency concerned, destruction is necessary to prevent the disclosure of information that might be prejudicial to the public interest, the records may be destroyed by maceration, burning, or other appropriate means.

PART 3 TRANSFERS OF RECORDS

SECTION 301.00 TRANSFER OF RECORDS FROM THE CUSTODY OF ONE EXECUTIVE AGENCY TO THAT OF ANOTHER

301.01 Authority. Section 505 (e) of the Federal Records Act of 1950 provides that, subject to applicable provisions of law, the Administrator of General Services shall issue regulations governing the transfer of records from the custody of one executive agency to that of another.

301.02 Approval. No records shall be transferred from one executive agency to the custody of another without the prior written approval of the National Archives and Records Service except as provided in section 301.09 of this chapter.

301.03 Agency Request. The head of any executive agency may request the transfer of records to or from his agency. Approval shall be requested by letter addressed to the National Archives and Records Service, in which are included:

- a. A concise description of the records to be transferred, including the volume in cubic feet;
- b. A statement of the restrictions imposed on the use of records;
- c. A statement of the number of reference requests per month made on the records, with information as to the agencies and persons using the records and the purpose of such use;
- d. A statement of the number of persons, if any, assigned to the administration of the records;
- e. A statement of the current and proposed physical and organizational locations of the records;
- f. Information as to why the proposed transfer is in the best interests of the Government; and
- g. A justification for the transfer of records more than five years old.

301.04 Agency Concurrences. Copies of the concurrence or nonconcurrence in the transfer by the heads of any agencies concerned shall be attached to the agency request.

301.05 Records of Terminated Agencies. Transfers of records of executive agencies whose functions are terminated or are in process of liquidation are expressly subject to these regulations and no such transfers shall be made except in accordance with their provisions.

301.06 Equipment. Records storage equipment shall be transferred with the records contained therein in accordance with arrangements previously agreed to by the agencies concerned.

301.07 Costs of Transfers. Approved transfers shall be made without reimbursement to the agency of original custody for any costs involved, except when such reimbursement is previously agreed to by the agencies concerned.

301.08 Restrictions on Use of Records. Whenever any records that are transferred are subject to restrictions upon their use, imposed pursuant to statute, Executive order, or agency determination, such restrictions shall continue in effect after the transfer. Restrictions imposed by agency determination may be removed by agreement between the agencies concerned.

301.09 Exceptions. Prior written approval of the National Archives and Records Service is not required:

- a. When records are transferred to the Federal Records Centers or the National Archives in accordance with sections 302.00 and 303.00 of this chapter.
- b. When records are loaned for official use.
- c. When the transfer of records or functions or both is required by statute, Executive order, or Presidential reorganization plan, or by specific determinations made thereunder.
- d. When the continuing transfer of records has heretofore been authorized under the provisions of Executive Order 9784, September 25, 1946 (11 F.R. 10909). Revisions in such authorizations require the approval of the National Archives and Records Service.

SECTION 302.00 TRANSFER OF RECORDS TO FEDERAL RECORDS CENTERS

302.01 Authority. Section 505 (d) of the Federal Records Act of 1950 authorizes the Administrator of General Services to establish, maintain, and operate records centers for the storage, processing, and servicing of records for Federal agencies. Such centers are known as Federal Records Centers. A list of Federal Records Centers showing the areas served thereby is attached as Exhibit 3, Appendix A.

302.02 Procedures for Transfers to Federal Records Centers. The following procedures will govern the transfer of records to Federal Records Centers:

a. Federal Records Centers will accept for transfer any records offered by Federal agencies, subject to the following conditions:

1. That the records are not authorized for immediate disposal; and
2. That facilities for housing and providing reference service on the records are available.

Priority will be given to the removal of records from office space, from space convertible to office use, from leased space, and from filing equipment which can be reused.

b. Transfers may be initiated by either oral or written request to the Deputy Regional Director for Records Management in the General Services Administration region in which the records are located. Requests shall specify the nature and quantity of the records proposed for transfer.

c. Transfers of records on an agency-wide basis may be initiated by central or headquarters offices of agencies by either oral or written request to the Records Management Division, National Archives and Records Service, National Archives Building, Washington 25, D. C. Requests shall specify the nature and quantity of the records proposed for transfer.

d. Federal Records Centers will furnish agencies with a receipt acknowledging the transfer of records.

302.03 Surveys of Records Available for Transfer. Surveys will be conducted by the regional Records Management Service of the records accumulations of field offices of those agencies not operating approved records centers for the purpose of recommending records for transfer to Federal Records Centers. Such recommendations will be submitted to the field office concerned and to the National Archives and Records Service for

coordination with the appropriate agency headquarters. Surveys of records of agency headquarters will normally be made by the Records Management Division, National Archives and Records Service.

302.04 Release of Equipment. Equipment received with the transfer of records to a Federal Records Center will, when emptied and if needed, be returned on request to the agency from which the records were received. If the return of such equipment is not required, it will be disposed of in accordance with applicable excess property Regulations.

302.05 Restrictions on Use of Records. Restrictions lawfully imposed on the use of transferred records will be observed and enforced by the Federal Records Centers, subject to the provisions of section 507 (b) of the Federal Records Act of 1950.

302.06 Disposal Clearances. No records of a Federal agency still in existence shall be disposed of by a Federal Records Center except with the concurrence of the agency concerned.

SECTION 303.00 TRANSFER OF RECORDS TO THE NATIONAL ARCHIVES

303.01 Authority. The Administrator of General Services is authorized by section 507 (a) of the Federal Records Act of 1950 to accept for deposit with the National Archives of the United States the records of any Federal agency or of the Congress of the United States that are determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States Government.

303.02 Transfers via Records Centers. Records will normally be transferred to the National Archives from a Federal Records Center or an approved agency records center. When such transfers are made, the agencies concerned will be furnished an inventory of the records transferred.

303.03 Direct Transfers. The classes of Federal records listed below may be offered for direct transfer to the National Archives. Such transfers shall be initiated by Federal agencies by written request to the National Archives and Records Service, specifying the nature and quantity of the records proposed for transfer. Existing arrangements for the transfer of records of the Congress of the United States will be continued.

- a. Records of the Executive Office of the President and of Presidential Boards, Commissions, and Committees
- b. Records of the Congress of the United States
- c. Records of the Supreme Court of the United States
- d. Audiovisual records (motion pictures, still photographs, sound recordings, etc.)
- e. Cartographic records (maps, charts, etc.)
- f. Series of records of unquestionable value that are not susceptible to screening or other processing (such as microfilming) to reduce their bulk
- g. Records that have been in existence 25 or more years and that are considered to have enduring value

303.04 Release of Equipment. Equipment received with the transfer of records to the National Archives will, when emptied and if needed, be returned on request to the agency from which the records were received. If the return of such equipment is not required, it will be disposed of in accordance with applicable excess property Regulations.

303.05 Restrictions on Use of Records. Restrictions lawfully imposed on the use of transferred records will be observed and enforced by the National Archives and Records Service, subject to the provisions of section 507 (b) of the Federal Records Act of 1950.

303.06 Disposal Clearances. No records of a Federal agency still in existence shall be disposed of by the National Archives and Records Service except with the concurrence of the agency concerned.

PART 4 AGENCY RECORDS CENTERS

SECTION 401.00 ESTABLISHMENT

401.01 Authority. Section 506 (c) of the Federal Records Act of 1950 authorizes Federal agencies to maintain and operate records centers for the storage, processing, and servicing of records that are appropriate therefor, when such centers are approved by the Administrator of General Services. Such centers operated by Federal agencies are referred to herein as "agency records centers."

401.02 Existing Records Centers. Agency records centers in operation as of the date of this Regulation are provisionally approved, pending their inspection by the General Services Administration.

401.03 Requests for Authority to Establish or Relocate Records Centers. No agency records center shall be established or relocated from one city to another without the prior written approval of the General Services Administration.

a. **Exclusions.** For purposes of this section the term "agency records center" excludes:

1. Staging areas containing less than 5,000 square feet of space used by agencies for the temporary storage of materials preparatory to their transfer to a records center or other disposition; provided that no records are held in the staging area in excess of five years.
2. Areas of less than 5,000 square feet used solely for the storage of records to which occasional reference is made but on which no processing activity (screening, microfilming, etc.) is performed.

b. **Content of Requests.** Requests for authority to establish or relocate an agency records center shall be submitted in writing to the Administrator of General Services. Such requests shall specify:

1. Proposed location of the agency records center
2. Space to be occupied in gross square feet
3. Nature and quantity of records to be stored
4. Total personnel to be employed
5. Justification of the proposed center

- c. Approval of Requests. Requests for the establishment or relocation of an agency records center will be approved by the Administrator of General Services when greater economy or efficiency can be achieved through its operation than by use of a Federal Records Center operated by the General Services Administration.

401.04 Annual Agency Records Center Report. Each Federal agency operating one or more agency records centers shall submit to the National Archives and Records Service, within 60 days after the close of the fiscal year 1952 and each year thereafter, a report on GSA Form 468 (Exhibit 4, Appendix A), for each center.

A P P E N D I X A

FORMS AND OTHER EXHIBITS

(Arranged in numerical order by Exhibit number)

GSA FORM 467
DECEMBER 1951
GENERAL SERVICES
ADMINISTRATION

ANNUAL STATISTICAL SUMMARY OF RECORDS HOLDINGS

1. FISCAL YEAR ENDING

2. DEPARTMENT OR AGENCY

This form (original only) is to be submitted by each Federal agency within 60 days after the close of each fiscal year to the National Archives and Records Service, General Services Administration, Washington 25, D. C. See instructions below.

	DEPARTMENTAL (A)	FIELD (B)	AGENCY RECORDS CENTER (C)	TOTALS (D)
3. Volume of records on hand at the beginning of the fiscal year (cubic feet)				
4. Volume of records disposed of during the fiscal year (cubic feet) (Do not include records cleared for disposal in Federal Records Centers)				
5. Volume of records transferred to agency records centers during the fiscal year (cubic feet)				
6. Volume of records transferred to other agencies during the fiscal year (cubic feet) (Including Federal Records Centers or the National Archives)				
7. Volume of records on hand at end of fiscal year (cubic feet)				
8. Percentage of the records shown in 7 above which are scheduled for disposal (including general schedules formally adopted by the agency)				
9. Percentage of the records shown in 7 above which are considered as permanent records.				
10. Percentage of the records shown in 7 above which are not yet scheduled for disposal (item 8) nor considered as permanent records (item 9)				
11. DATE	13. SIGNATURE			
12. TITLE OF PERSON SIGNING REPORT				

INSTRUCTIONS

Records of an agency transferred to the General Services Administration in years prior to the fiscal year covered by the report will not be reported. Non-record material will be included in volume and percentage totals if agency practice calls for statistics on this class of material.

The term "Departmental" (column A) means the headquarters of the agency, as contrasted to the agency's field activities, if any, but excluding records centers as defined below.

The term "Field" (column B) means the agency's offices other than those included in the departmental headquarters and other than records centers as defined below.

"Agency Records Center" (column C) is described in GSA Regulation 3-IV-401.01 and 3-IV-401.03a.

NOTE: For purposes of this report, cubic feet may be calculated according to the following table of equivalents:

Letter sized filing cabinets (full but workable) - 1½ cu. ft. per drawer
 Legal sized filing cabinets (full but workable) - 2 cu. ft. per drawer
 Tabulating cards - 10,000 per cu. ft.
 3 x 5 Filing case (full but workable) - 1/10 cu. ft. per 12 inch drawer
 4 x 6 Filing case (full but workable) - 1/6 cu. ft. per 12 inch drawer
 5 x 8 Filing case (full but workable) - ¼ cu. ft. per 12 inch drawer
 Map cases and other outsized equipment - cubic measurement of inside of containers
 Adjustments for partially filled cabinets should be made.

Where exact figures are not available, estimates may be substituted. Where this is done the figure should be preceded by "Est." It is expected that items 8, 9, and 10 will be estimates.

(See Instructions on reverse)

1. FROM (AGENCY OR ESTABLISHMENT)

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL. EXT.

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of _____ pages are proposed for disposal for the reason indicated: ("X" only one)

A ☐ The records have ceased to have sufficient value to warrant further retention.

B ☐ The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

(Date)

(Signature of Agency Representative)

(Title)

7.
ITEM NO.

8. DESCRIPTION OF ITEM
(WITH INCLUSIVE DATES OR RETENTION PERIODS)

9.
SAMPLE OR
JOB NO.

10.
ACTION TAKEN

Approved For Release 2001/11/16 : CIA-RDP78-00433A000100160006-9

the National Supply Service, General Services Administration, to obtain authority to dispose of records. Submit four copies, all of which should be signed and dated, to the National Archives and Records Service. Indicate the number of pages involved in the disposal request under entry 6. Copy 4 of the standard form will be returned to the agency with notification that Congress has authorized disposal of the items marked "approved."

Specific Instructions:

Entries 1, 2, and 3 should show what agency has custody of the records that are identified on the form, and should contain the name of the department or independent agency, and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to whom inquiries regarding the records should be directed.

Entry 6 should show what kind of authorization is requested. Only one of two kinds of authorizations may be requested on a particular form.

Box A should be marked if immediate disposal is to be made of past accumulations of records, and the completed form thus marked is a list.

Box B should be marked if records that have accumulated or will continue to accumulate are to be disposed of at some definite future time or periodically at stated intervals, or if disposal is to be made of microphotographed records after it has been ascertained that the microfilm copies were made in accordance with the standards prescribed in GSA Regulations 3-IV-105.00; and the completed form thus marked is a schedule.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i.e. 1, 2, 3, 4, etc.

Entry 8 should show what records are proposed for disposal.

Center headings should indicate what office's records are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the types of records involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the series of records that are proposed for disposal. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as 1a, 1b, etc., under the general series entry.

A statement should be provided showing when the records were produced or when disposal is to be made of the records, thus:

If Box A under entry 6 was marked, the inclusive dates during which the records were produced should be stated.

If Box B under entry 6 was marked, the period of retention should be stated. The retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, the retention period should read: "Until ascertained that microphotographic copies have been made in accordance with GSA Regulations 3-IV-105.00 and are adequate substitutes for the paper records."

Entry 9 should show what samples of records were submitted for each item, or with what job number samples were submitted. Records of other types of records other than textual and cartographic records should not be submitted.

Entry 10 should be left blank.

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN

FEDERAL RECORDS CENTERS

<u>GSA Region</u>	<u>Area Served</u>	<u>Mailing Address</u>
2	New York, Pennsylvania, New Jersey, and Delaware	General Services Administration 250 Hudson Street New York 13, New York
3	District of Columbia, Maryland, West Virginia, Virginia, Puerto Rico, and the Virgin Islands	General Services Administration GSA Regional Office Building Washington 25, D. C.
4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, and Florida	General Services Administration 50 Whitehall Street, S. W. Atlanta, Georgia
5	Kentucky, Illinois, Wisconsin, Michigan, Indiana, and Ohio	General Services Administration Room 528, Court House 219 South Clark Street Chicago 4, Illinois
7	Texas, Louisiana, Arkansas, and Oklahoma	General Services Administration 1114 Commerce Street Dallas 2, Texas
8	Colorado, Wyoming, Utah, and New Mexico	General Services Administration Bldg. 41, Denver Federal Center Denver, Colorado
9	California, Arizona, Nevada, and the Territory of Hawaii	General Services Administration 630 Sansome Street San Francisco, California

GSA RECORDS DEPOSITORIES*

1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	General Services Administration Post Office & Courthouse Boston 9, Massachusetts
6	Missouri, Kansas, Iowa, Nebraska, North Dakota, South Dakota, and Minnesota	General Services Administration Room 1800, Federal Office Building Kansas City, Missouri
10	Washington, Oregon, Idaho, Montana, and the Territory of Alaska	General Services Administration 909 First Avenue Seattle 4, Washington

*Transfers limited at present to types of records specified in GSA Circular No. 9,
as amended.

EXHIBIT 4, APPENDIX A
GSA REG. 3-IV-401.04GSA FORM 46B
DECEMBER 1951
GENERAL SERVICES
ADMINISTRATIONAGENCY RECORDS CENTER
ANNUAL REPORT

1. REPORT FOR FISCAL YEAR ENDING

2. DEPARTMENT OR AGENCY

3. LOCATION OF RECORDS CENTER (*Street, city, and State*)

INSTRUCTIONS: This form (original only) is to be submitted within 60 days after the close of each fiscal year to the National Archives and Records Service, General Services Administration, Washington 25, D.C., for each Agency Records Center.

4. Volume of records on hand at the beginning of the fiscal year (<i>cubic feet</i>)		9. Average number of personnel employed by the center during the fiscal year	
5. Volume of records accessioned during the fiscal year (<i>cubic feet</i>)		10. Average amount of space occupied by the center during the fiscal year (<i>sq. ft.</i>)	
6. Volume of records disposed of during the fiscal year (<i>cubic feet</i>)		11. Number of 4 or 5 drawer units of steel filing equipment utilized at the end of the fiscal year	
7. Volume of records transferred from the center during the fiscal year (<i>cu. ft.</i>)		12. Number of steel transfer cases (drawers) utilized at the end of the fiscal year	
8. Volume of records on hand at the end of the fiscal year (<i>cubic feet</i>)		13. Total number of reference services during the fiscal year*	
14. DATE		16. SIGNATURE	
15. TITLE OF PERSON SIGNING REPORT			

NOTE: Non-record material is to be included in the volume totals.

*Reference services comprise (1) each file item furnished on loan or for reproduction or for reference use in the center and (2) each occasion on which information is furnished from the records (orally or written). A file item may be a single document, a folder, a bound volume, etc., depending upon the physical manner in which the records are stored, removed and furnished to the inquirer. If the request is for one document or several documents filed separately, each document constitutes a file item. If the request is for certain folders, each folder constitutes an item, etc.